

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial No.: 09/931,149

Title: METHOD AND SYSTEM FOR MANAGING A MORTGAGE-BACKED SECURITIES INDEX

Applicant: David RIOS, et al.

Filed: August 16, 2001

Examiner: Not yet known

Group Art Unit: 2164

Docket No.: 016422/142

Commissioner for Patents
Washington, D.C. 20231

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INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 C.F.R. § 1.97

Sir:

Enclosed herewith is a list of references ("Form PTO/SB/08A and 08B"), and a copy of each of the documents listed therein. The Examiner is respectfully requested to consider the enclosed list and indicate his consideration thereof by initialing the enclosed PTO Form and returning a copy of the initialed form to Applicant's undersigned attorney.

It is believed that this disclosure, pursuant to 37 C.F.R. §§ 1.97 and 1.98, complies with the requirements of 37 C.F.R. § 1.56 and the Manual of Patent Examining Procedures, Section 707.05(b). If for some reason the Examiner considers otherwise, it is respectfully requested that the undersigned be called so that any deficiencies can be remedied.

There is no fee deemed necessary with this submission, however should an additional fee become, the Commissioner is hereby authorized to charge the same to Deposit Order Account 500675.

Respectfully submitted,

SCHULTE ROTH & ZABEL LLP
Attorneys for Applicants
919 Third Avenue
New York, New York 10022
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Dated: November 16, 2001
New York, New York

By: Donna L. Angotti
Donna L. Angotti
Reg. No. 32,679

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	1	of	2
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C mplete if Known

Application Number	09/931,149
Filing Date	August 16, 2001
First Named Inventor	David Rios, et al.
Art Unit	2164
Examiner Name	not yet known
Attorney Docket Number	016422/142

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

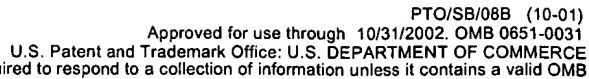
Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO

(use as many sheets as necessary)

Sheet	2	of	2
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Complete if Known

Application Number	09/931,149
Filing Date	August 16, 2001
First Named Inventor	David Rios, et al.
Group Art Unit	2164
Examiner Name	not yet known
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[illegible]

Date	
Considered	

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

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